

RECEIPT



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on

Date: September 25, 2001

Name: Lisa M. Davis

Signature: *Lisa M. Davis*
Clifford Chance Rogers & Wells LLP

Docket No. 3499/76

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Andrew J.R. Smith et al.

Filed: May 31, 2001

Group Art Unit: 2161

Serial No: 09/871,427

Examiner: TBA

For: METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND VALIDATED PRODUCT OFFERING OBJECTS

RECEIVED
NOV 20 2 2001
GROUP 2000

REQUEST FOR A CORRECTED FILING RECEIPT

Commissioner for Patents
Washington, D.C. 20231

Upon review of the Official Filing Receipt, we have noted that the priority data is not included in the filing receipt. This application claims priority to the following applications:

<u>Serial Number</u>	<u>Country</u>	<u>Filing Date</u>	<u>Priority Claimed</u> <u>(Y/N)</u>
60/223,397	United States	August 4, 2000	N
60/227,162	United States	August 22, 2000	N

It is believed that this error originated in the Patent Office and therefore no fee is required for this correction. However, the Commissioner is hereby authorized to charge any additional fees due to Deposit Account No. 50-0521.

Respectfully submitted,

Date: September 25, 2001

Mitchell S. Feller
Mitchell S. Feller

Reg. No. 42,530

Clifford Chance Rogers & Wells LLP
200 Park Avenue
New York, NY 10166-0153
Telephone: (212) 878-8545

Docket No.3499/76

NYB 1280453.1



UNITED STATES PATENT AND TRADEMARK OFFICE

SEP 28 2001

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/871,427	08/14/2001	2161	1042	3499-76	10	34	4

CONFIRMATION NO. 8901

FILING RECEIPT



OC000000006422941

Clifford Chance Rogers & Wells LLP
200 Park Avenue
New York, NY 10166-0153

Date Mailed: 08/14/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Applicant(s)

Andrew J.R. Smith, New York, NY;
Deane Thomas, New York, NY;
Randy Cowan, New York, NY;

RECEIVED
NOV 02 2001
Group 2100

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 08/14/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

Method and system for processing raw financial data streams to produce and distribute structured and validated product offering objects

Preliminary Class

705

Data entry by : KANNO, MESERET

Team : OIPE

Date: 08/14/2001

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

FILE COPY

Bib Data Sheet

CONFIRMATION NO. 8901

SERIAL NUMBER 09/871,427	FILING DATE 05/31/2001 RULE	CLASS 705	GROUP ART UNIT 2161	ATTORNEY DOCKET NO. 3499-76
APPLICANTS Andrew J.R. Smith, New York, NY; Deane Thomas, New York, NY; Randy Cowan, New York, NY;				
** CONTINUING DATA ***** THIS APPLN CLAIMS BENEFIT OF 60/223,397 08/04/2000 AND CLAIMS BENEFIT OF 60/227,162 08/22/2000				
** FOREIGN APPLICATIONS *****				
IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** 08/14/2001				
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance		STATE OR COUNTRY NY	SHEETS DRAWING 10	TOTAL CLAIMS 34
Verified and Acknowledged Examiner's Signature _____ Initials _____		INDEPENDENT CLAIMS 4		
ADDRESS Clifford Chance Rogers & Wells LLP 200 Park Avenue New York, NY 10166-0153				
TITLE Method and system for processing raw financial data streams to produce and distribute structured and validated product offering objects				
FILING FEE RECEIVED 1172	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on

Date: September 25, 2001

Name: Lisa M. Davis

Signature: *Lisa M. Davis*
Clifford Chance Rogers & Wells LLP

Docket No. 3499-76

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Andrew J.R. Smith et al.

Filed: May 31, 2001

Group Art Unit: 2161

Serial No: 09/871,427

Examiner: TBA

For: METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA
STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND
VALIDATED PRODUCT OFFERING OBJECTS

SUBMISSION OF SUBSTITUTE FORMAL DRAWINGS

Commissioner for Patents
Attn: Official Draftperson
Washington, D.C. 20231

Sir:

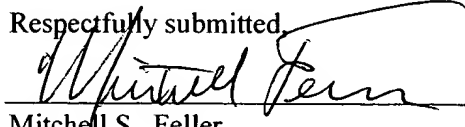
In response to the Notice of Drawing Requirements mailed on August 14, 2001 (copy enclosed), enclosed please find Substitute Formal Drawings illustrating Figs. 1-10 (10 sheets) for the above-identified application and which replace the corresponding originally submitted drawings. No new matter has been added.

It is respectfully requested that these drawings be approved by the Official Draftsman and made of record in the file of this case.

The Commissioner is hereby authorized to charge any additional fees which may be required in connection with this request, or to credit any overpayment to Deposit Account No. 50-0521. A duplicate copy of this transmittal is enclosed.

Date: September 25, 2001

Respectfully submitted,



Mitchell S. Feller
Reg. No. 42,530

Clifford Chance Rogers & Wells LLP
200 Park Avenue
New York, NY 10166-0153
Telephone: (212) 878-8545